

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Thomas J. Daley, et al.  
Serial No.: 10/767,699  
Filing Date: January 29, 2004  
Art Unit: 3624  
Confirmation No.: 5670  
Examiner: Unknown  
Title: *SYSTEM AND METHOD FOR CONTROLLING  
THE DISCLOSURE OF A TRADING ORDER*

**Mail Stop Amendment**

Commissioner of Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, the copy of the US Patent Application Publication listed in the attached PTO-1449 form is not enclosed. A copy of the non-patent document is enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

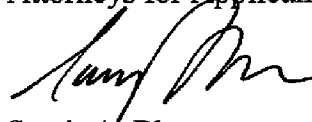
The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants



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Date: December 28, 2006

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Customer No. **05073**

PTO-1449	Application No. <b>10/767,699</b>		Applicant(s) <b>Thomas J. Daley, et al.</b>	
	Docket Number <b>069547.0174</b>	Group Art Unit <b>3624</b>	Filing Date <b>January 29, 2004</b>	

**Information Disclosure Citation  
In an Application**

**U.S. PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/BKS/	A	2001/0042040 A1	11/15/2001	Keith	705	37	03/08/2001
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						
	J						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	K							
	L							
	M							
	N							
	O							

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/BKS/	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.</i>	12/13/2006
	Q		
	R		

EXAMINER <b>/Bijendra K. Shrestha/</b>	DATE CONSIDERED <b>12/20/2010</b>
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE